



Patent Application  
Docket No. PARA 49784  
WJT08-0040

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Khosro Shamsaifar et al. )  
Serial No.: 10/051,144 ) Group No. 2817  
Filed: January 17, 2002 ) Examiner: Justin P. Bettendorf

For: **ELECTRONICALLY TUNABLE COMBLINE FILTER WITH ASYMMETRIC RESPONSE**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

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on May 13, 2003

Signature *William J. Tucker*

Dear Sir:

**INFORMATION DISCLOSURE STATEMENT**

Herewith are Form PTO-1449 and one copy of each document listed thereon (except for patent applications). Attention is also directed to any item(s) designated below:

1. A check is enclosed to cover the fee set forth in 37 CFR 1.17(p). Any additional fee required by this paper may be charged to Deposit Account No. 50-1481.

☒ 2. The undersigned certifies that each enclosed document was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the Information Disclosure Statement.

3. The relevance of any enclosed non-English language document(s) is concisely explained as follows.

Respectfully submitted,

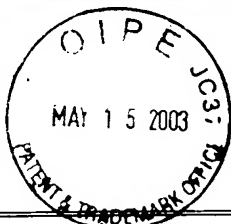
*William J. Tucker*  
William J. Tucker  
Reg. No. 41,356

8650 Southwestern Blvd. #2825



27512

UNITED STATES PATENT AND TRADEMARK OFFICE



Sheet 1 of 1

Form PTO-1449 Modified

List of Patents and Publications  
Cited by Applicant  
(Use several sheets if necessary)

U.S. Patent Department of Commerce  
Patent and Trademark Office

Docket No.: PARA 49784

Serial No.: 10/051,144

Applicant: Khosro Shamsaifar et al.

Filing Date: January 17, 2002

Group: 2817

## U.S. PATENT DOCUMENTS

Examiner Initial		Document No.	Date	Name	Class	Subclass
	A-1	5,578,976	Nov. 26, 1996	Yao	333	262
	A-2	4,992,759	Feb. 12, 1991	Giraudeau et al.	333	204

## FOREIGN PATENT DOCUMENTS

Examiner Initial		Document No.	Publication Date	Country	Translation	
					Yes	No
	B-1	WO 01/33660 A1	May 10, 2001	PCT Patent Application	X	
	B-2	WO 00/35042	June 15, 2000	PCT Patent Application	X	
	B-3	05308204	Nov. 19, 1993	Patent Abstracts of Japan	X (abstract)	

## OTHER DOCUMENTS

Examiner Initials		Author, Title, Date, Pertinent Pages, Etc.
	C-1	European Search Report for EP Application No. EP 03 25 0308 dated April 1, 2003.
	C-2	Xiao-Peng Liang et al. "Hybrid Resonator Microstrip Line Electrically Tunable Filter" 2001 IEEE MTT-S International Microwave Symposium Digest. (IMS 2001). Phoenix, Az, May 2-25, 2001, IEEE MTT-S International Microwave Symposium, New York: IEEE, US, Vol. 3 of 3, 20 May 2001, pp. 1457-1460.
	C-3	
	C-4	

Date Examined:

Examiner:

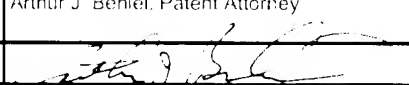
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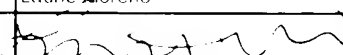
PTO SB 21-103-03

Approved for use through 04-30-2003 OMB 0651-0031  
U.S. Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE

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<b>TRANSMITTAL FORM</b>  <i>(to be used for all correspondence after initial filing)</i>	Application Number	10 035 829	
	Filing Date	October 18, 2001	
	First Named Inventor	Vlad J. Novotny	
	Art Unit	2874	
	Examiner Name	Unassigned	
Total Number of Pages in This Submission	4	Attorney Docket Number	AONIP001C1 (AO-666)

ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to a Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below) Return Receipt Postcard
Remarks _____		
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
Firm or Individual	Arthur J. Behiel, Patent Attorney	
Signature		
Date	May 15, 2003	

CERTIFICATE OF TRANSMISSION/MAILING		
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Typed or printed	Laurie Moreno	
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This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the information to the USPTO. The workload is being reported upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing the burden should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20591. **DO NOT RETURN UNCOMPLETED FORMS TO THIS ADDRESS. SEND TO:**

MAY 15 2003

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Vlad J. Novotny and Parvinder Dhillon  
Assignee: Active Optical Networks, Inc.  
Title: "MICRO-OPTO-ELECTRO-MECHANICAL SWITCHING SYSTEM"  
Serial No.: 10/035,829 Filed: October 18, 2001  
Examiner: Unknown Tel: Unknown  
Docket No.: AONIP00C1 Art Unit: 2874

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Commissioner For Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §1.56, §1.97 and §1.98, Applicants bring the 17 documents listed on the enclosed form PTO-1449 to the Examiner's attention in the above-captioned application. Citation of the listed documents shall not be construed as:

1. an admission that the documents are necessarily prior art with respect to the instant application;
2. a representation that a search has been made; or
3. an admission that the information cited is, or is considered to be, material to patentability as defined in §1.56(b).

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Respectfully submitted,

MAY 15 2003

U.S. Department of Commerce, Patent and Trademark Office	Serial No.: 10/035,829
	Filing Date: 10/18/2001
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT	Inventors: Vlad J. Novotny and Parvinder Dhillon
	Group Art Unit: 2874
"MICRO-OPTO-ELECTRO-MECHANICAL SWITCHING SYSTEM"	Examiner Name: Unknown
	Attorney Docket No.: AONIP00C1 (AO-666)

U.S. Patent Documents

*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date, If Appropriate
	A	6,320,993 B1	11/20/01	Laor	385	16	
	B	5,724,123	03/03/98	Tanaka	356	5.01	
	C	5,872,880	02/16/99	Maynard	385	88	
	D	6,483,962	11/19/00	Novotny	385	18	
	E	US 2002/0186918 A1	12/12/02	Burroughs	385	18	

Foreign Patent Documents

		Document Number	Date	Country	Class	Subclass	Translation	
							Yes	No
	F	WO 01/96924 A1	12/20/01	World Intellectual Burroughs et al.	G02B	06/42		

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	G	David J. Bishop, C. Randy Giles, and Saswato R. Das, "The Rise of Optical Switching," Scientific American, pp. 88-94, January, 2001.					
	H	Daniel J. blumenthal, "Routing Packets with Light," Scientific American, pp. 96-99, January 2001.					
	I	Wolfgang Ehrfeld, Hans Dieter Bauer, "Application of Micro- and Nanotechnologies for the Fabrication of Optical Devices," SPIE, Vol. 3276, pp. 2-14, 1998.					
	J	John D. Grade and Hal Jerman, "A Large Deflection Electrostatic Actuator for Optical Switching Applications," Presented at Hilton Head 2000, pp. 1-4.					
	K	Herzel Laor, "Construction and Performance of a 576x576 Single-Stage OXC," LEOS, 3 pages, November 8, 1999.					
	L	Herzel Laor et al. "Performance of a 576x576 Optical Cross Connect," NFOEC, pp. 1-5, September 26, 1999.					

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MAY 15 2003

U.S. Department of Commerce, Patent and Trademark Office	Serial No.: 10/035,829
	Filing Date: 10/18/2001
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT	Inventors: Vlad J. Novotny and Parvinder Dhillon
	Group Art Unit: 2874
"MICRO-OPTO-ELECTRO-MECHANICAL SWITCHING SYSTEM"	Examiner Name: Unknown
	Attorney Docket No.: AONIP00C1 (AO-666)

U.S. Patent Documents

*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date, If Appropriate
	M	6,252,466 B1	06/26/01	Kawamura	331	25	
	N	6,097,859	08/01/00	Solgaard et al.	385	17	
	O						
	P						
	Q						

Foreign Patent Documents

		Document Number	Date	Country	Class	Subclass	Translation	
							Yes	No
	R							

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	S	James A. Walker, "The Future of MEMS in Telecommunications Networks." Pages P1 P7. Bell Laboratories, Lucent Technologies. February 2, 2000.
	T	D.J. Bishop Presentation, "Silicon Micromachines for Lightwave Networks: Can Little Machines Make it Big?" 83 pages. February 1999.
	U	D. J. Bishop, "Silicon Micromachines for Lightwave Networks: The Little Machines That Will Make it Big." SPIE Vol. 11, No. 2, December 1999. 11 pages.
	V	
	W	